

Receipt date: 03/28/2006

10565142 - GAD 3738  
HCU

DOCKET NO.: UPN-4789/Q3261

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:

Howard C. Herrmann, et al.

Application No.: 10/565,142

Filing Date: January 19, 2006

For: PERCUTANEOUS HEART VALVE

Confirmation No.: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Examiner: Not Yet Assigned

DATE OF DEPOSIT: March 24, 2006

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID, ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE UNITED STATES PATENT AND TRADEMARK OFFICE, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450.

*Elizabeth A. McLoud*

TYPED NAME: Elizabeth A. McLoud

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

### INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).

- ☒ In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /S.G./

DOCKET NO.: UPN-4789/Q3261

- 2 -

PATENT

the above identified application as set forth in § 1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

- ☐ In accordance with § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in § 1.97(b) above but before the mailing date of either a Final Action under § 1.116 or a Notice of Allowance under § 1.311, or before an action that otherwise closes prosecution in the application, therefore:

☐ Certification in Accordance with § 1.97(e) is attached; or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

- ☐ In accordance with § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with § 1.97(e); and the submission fee of \$180.00 as set forth in § 1.17(p).

- ☒ Copies of reference numbers 1 - 3 listed on the attached Form PTO-1449 are enclosed herewith.

- ☒ Copies of reference numbers 4 - 27 on the attached Form PTO 1449 are not required to be submitted pursuant to 37 CFR § 1.98(a)(2)(i).

- ☐ Copies of references - are not being submitted because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application number , filed for which a claim for priority under 35 U.S.C. § 120 has been made in the instant application.

**DOCKET NO.: UPN-4789/Q3261**

**- 3 -**


**PATENT**

☐ The relevance of those listed references which are not in the English language is as follows:

There are no listed references which are not in the English language.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050. This form is submitted in duplicate.

Date: *March 23, 2006*

  
\_\_\_\_\_  
Michael P. Dunnam  
Registration No. 32,611

WOODCOCK WASHBURN LLP  
One Liberty Place - 46th Floor  
Philadelphia, PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439

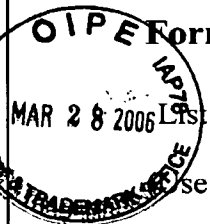
© 2006 WW

Sheet 1 of 3


<b>Form PTO-1449 Modified</b>	Docket No. UPN-4789/Q3261	Application No. 10/565,142
List of Patent and Publications Cited by Applicant (Use several sheets if necessary)	Applicant Howard C. Herrmann, et al.	
U.S. Department of Commerce Patent and Trademark Office	Filing Date January 19, 2006	Group Not Yet Assigned
Confirmation No. Not Yet Assigned		
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>		
1	Block, P.C., "Percutaneous mitral valve repair for mitral regurgitation," <i>J. of Interventional Cardiology</i> , 2003, 16(1), 93-96	
2	Bonhoeffer, et al., "Percutaneous insertion of the pulmonary valve," <i>J. of the Am. College of Cardiology</i> , 2002, 39(10), 1664-1669	
3	Cribier, et al., "Percutaneous transcatheter implantation of an aortic valve prosthesis for calcific aortic stenosis," <i>Circulation</i> , 2002, 3006-3008	
<b>EXAMINER</b> /Suzette Gherbi/		<b>DATE CONSIDERED</b> 8/28/09

© 2006 WW

Sheet 2 of 3

 <b>Form PTO-1449 Modified</b> List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office				Docket No. UPN-4789/Q3261		Application No. 10/565,142	
				Applicant Howard C. Herrmann, et al.			
				Filing Date January 19, 2006		Group Not Yet Assigned	
				Confirmation No. Not Yet Assigned			
<b>U. S. PATENT DOCUMENTS</b>							
Examiner Initial		Document No.	Date	Name	Class	Subclass	
	4	4,056,854	11/08/77	Boretos, et al.	3	1.5	
	5	4,759,759	07/26/88	Walker, et al.	623	2	
	6	4,777,951 B2					
	7	5,554,185	09/10/96	Block, et al.	623	2	
	8	5,855,601	01/05/99	Bessler, et al.	623	2	
	9	6,183,494 B1	02/06/01	Amor, et al.	606	198	
	10	6,425,916 B1	07/30/02	Garrison, et al.	623	2.11	
	11	6,454,799 B1	09/24/02	Schreck	623	2.18	
	12	6,458,153 B1	10/01/02	Bailey, et al.	623	1.24	
	13	6,461,366 B1	10/08/02	Segiun	606	144	
	14	6,482,228 B1	11/19/02	Norred	623	2.17	
	15	6,494,909 B2	12/17/02	Greenhalgh	623	1.24	
	16	6,517,576 B2	02/11/03	Gabbay	623	2.14	
	17	6,537,314 B2	03/25/03	Langberg, et al.	623	2.36	
	18	6,551,344 B2	03/22/03	Thill.	606	213	
	19	6,561,969 B2	05/13/03	Frazier, et al.	600	16	
	20	6,582,462 B1	06/24/03	Andersen, et al.	623	1.26	
	21	6,605,102 B1	08/12/03	Mazzocchi, et al.	606	200	
<b>EXAMINER</b> /Suzette Gherbi/				<b>DATE CONSIDERED</b> 8/28/09			

Sheet 3 of 3

 <b>Form PTO-1449 Modified</b> List of Patent and Publications Cited by Applicant (Attach several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office				Docket No. UPN-4789/Q3261		Application No. 10/565,142	
				Applicant Howard C. Herrmann, et al.			
				Filing Date January 19, 2006		Group Not Yet Assigned	
				Confirmation No. Not Yet Assigned			
<b>U. S. PATENT DOCUMENTS</b>							
<b>Examiner Initial</b>		<b>Document No.</b>	<b>Date</b>	<b>Name</b>	<b>Class</b>	<b>Subclass</b>	
	22	6,629,534 B1	10/07/03	St. Goar, et al.	128	898	
	23	6,641,557 B1	11/04/03	Frazier, et al.	604	115	
	24	6,650,923 B1	11/18/03	Lesh, et al.	600	407	
	25	2001/0002445 A1	05/31/01	Vesely	623	2.11	
	26	2002/0138138 A1	09/26/02	Yang	623	2.18	
	27	2006/0020332 A1	01/26/06	Lashinski, et al.	623	2.11	
<b>FOREIGN PATENT DOCUMENTS</b>							
<b>Examiner Initial</b>		<b>Document No.</b>	<b>Date</b>	<b>Country</b>	<b>Translation</b>		
					<b>YES</b>	<b>NO</b>	
<b>EXAMINER</b> /Suzette Gherbi/				<b>DATE CONSIDERED</b> 8/28/09			